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L14: Entry 38 of 63   File: USPT   Sep 28, 1999

DOCUMENT-IDENTIFIER: US 5960200 A
TITLE: System to transition an enterprise to a distributed infrastructure

DEPR:
The intent of the APPA process 442 is to gather and <u>document</u> an inventory of all
the current and envisioned applications and business processes of an enterprise.
The APPA process 442 separates the strategic from the tactical, and for each one,
determines the transition that needs to take place to move from the existing to
the envisioned situation.

DEPR:
By way of background, an NFA is a mathematical model that consists of a set of
states, a set of input <u>symbols,</u> a transition function that maps state<u>-symbol</u>
pairs to sets of states, an initial state, and a set of final states. A special
case of NFA is the deterministic finite automaton (DFA), which can have no
unlabelled edges and at most one edge with the same label leaving a given state.
Where time-space tradeoffs are an issue, an NFA is slower than a DFA but consumes
much less space. In any event, an NFA and a DFA are both appropriate
representations for real-life business processes. Furthermore, an NFA can
automatically be converted into a DFA using fundamental principles of state
machines and finite automaton theory. Consequently, which representation is used
is of little consequence to a preferred embodiment of the business process engine
124. In addition, because business processes can be composed of a series of
unrelated processes or can even be decomposed into sub-processes, more than one
NFA, possibly organized in a hierarchical fashion, can be used to represent the
various business processes modeled by an application.

DEPR:
These functions comprise include file processing, server initialization,
transaction call resolution, transaction entry point processing, and server
wrap-up. Include file processing comprises initializing global variables, notably
the Program Specification Block (PSB) structures for each transaction. By way of
background, a PSB defines, for a given transaction, the database which may be
accessed, the database <u>segments</u> that are available, and the type of access (read,
update, etc.) which may occur. A PSB is also a collection of Program
Communication Blocks (PCB). A PCB is an IMS structure to control the access to
data as will be described in detail below.

DEPR:
Query languages based on relational algebra are Structured Query Language (SQL)
and Query By Example (QBE), both originated by IBM. SQL is usually embedded
within a third generation language such as C, called the host language. Because
host languages do not typically have multi-record operations, special SQL
commands such as the cursor concept are provided to process multi-row query
results in a record-at-a-time fashion. A cursor is a name given to a query. When
a cursor is opened, the corresponding query is executed. Any subsequent fetch
command on the cursor returns a new row to the host language. When the cursor is
closed, query results are no longer available to the host language. Other special
commands in SQL embedded mode include transaction processing features, dynamic
SQL generation, and authorization control. The physical level deals with data
dictionaries, data definitions (physical file structures, file space allocation),
storage devices (data compression), access methods (sequential, <u>index</u>-sequential,
direct).

DEPR:
Sequential files use a sorted column to perform sequential search.

Index-sequential adds an index to a given column to provide random access. Large indices may themselves be indexed. Sequential files are difficult to maintain because adding or deleting a record requires reorganization of the whole file. Indexed (inverted) files remove the sequential part. Fully inverted refers to indices associated with each column. Indices carry update overhead but enable fast access. Direct access uses a single key and a calculation from that key to locate the physical address of the data in memory.

DEPR:
Specifically, the scanner 241 reads characters from the MFS file until a token has been read. The scanner 241 adds the token just obtained to a symbol table in which all the identifiers of the source language are stored, along with their characteristics. The tokens are then passed to the parser 243.

DEPR:
FIG. 19 is a block diagram of the first phase transformer program 224 of FIG. 17. As shown, the main elements of this transformer are a grammar definition for the source language 251, a dynamic symbol table generator for the source language 252, and a number of rules 253 for transforming a source language 221 to the meta language 225. In addition, an external data dictionary 228 contains the data structures, definitions, and common logic constructs pertaining to the source application.

DEPR:
The symbol table 252 is dynamically generated during parsing based on data definitions found in the source code 221 as well as in the data dictionary 228. All relevant data (i.e. non-procedural) elements found in the source code 221 are incorporated into the symbol table 252, while irrelevant elements are discarded based on source language grammar 251. The symbol table 252 is thus dynamically built to contain symbols for all data elements, data structures, data definitions and variables relevant to the source code file 221 being transformed.

DEPR:
Once parsing is complete, a complete set of rules 253 for transforming source language code to meta language code is programmed as declarative rules in a separate conversion routine 253. The conversion rules 253 operate as follows. A rule is applied to each source language construct parsed using the grammar 251. When a rule is executed, a source language construct is transformed to its equivalent construct in the meta language. Procedural constructs and primitives are thus regenerated in the meta language. Operations on data elements and data structures are first validated using the symbol table 252. Based on this validation, an equivalent operation is custom-generated in the meta language. The rule being executed for this validation operation generates a specific construct to reproduce the semantics of the transformed operation, such as a conversion from integer to floating point, if required.

DEPR:
FIG. 22 is a block diagram of the second phase transformer program 226 of FIG. 17. Similar to the first phase transformation, the main elements of the second phase transformer 226 are a grammar definition 261 for the meta language 225, a dynamic symbol table generator 262 for the meta language 225, and a number of rules 263 for transforming the meta language 225 to a target language 227. In addition, the second phase transformer program 226 uses the same external data dictionary 228 as does the first phase transformer program 224.

DEPR:
The symbol table 262 is dynamically generated during parsing based on data definitions found in the meta code 225 as well as in the data dictionary 228.

DEPR:
In a preferred embodiment of the present invention, the target DDL 238 is a relational database schema specified using conventional ANSI SQL language. Such a schema defines the tables that compose an application, along with their key fields, and other descriptive fields. Initial values and other constraints such as referential integrity clauses may also be included in this schema. Because relational schemas are well understood, and ANSI SQL syntax is well-documented, the primary task of the DDL converter 235 is to map the syntax of source DDL 232 to the corresponding ANSI SQL syntax. In a preferred embodiment of the present invention, this "target" DDL 238 can be viewed as an intermediary language that

can then be converted to the final target DDL language for increased maintainability and flexibility, as was the case with the user interface and procedural language conversion utility. For illustrative purposes, IMS DL/1 can be considered as the source DLL 232.

DEPR:
FIG. 25 is a block diagram illustrating a schema conversion. As shown, the DDL converter 235 is sub-divided into a first converter 235a and a second converter 232b. The first converter 235a takes DBDxx 232a, DBDxx 232b, and COPYLIB 235c as inputs and generates a table creation SQL statement file 238a, an index creation SQL statement file 238b, a primary key creation SQL statement file 238c, and a database schema ANSI C header file 238d.

DEPR:
By way of background, an IMS database schema depends on Data Base Descriptions (DBD) and COBOL copy libraries (COPYLIB). All IMS data bases must be defined through DBD generation prior to use by application programs. A DBD is the DL/1 control block that contains all the information necessary to describe a data base, namely segment types, physical and logical relationships between segment types, database organization and access method, and physical characteristics of the database. COPYLIB contains COBOL data structures definition and is used to create corresponding C structures and IMS segment definitions.

DEPR:
The first converter 235a generates a table file 238a, which is used to create tables in the target RDBMS. The table file 238a includes simple relational table creation statements, without indices, keys, or reference integrity. Consequently, it an be generated directly from COPYLIB 232c information, without any DBD input. For example, the COPYLIB entry for a segment is used to generate a corresponding relational table.

DEPR:
A relational table is build from an IMS segment as follows. First, all the key fields of all the ancestors of the segment in question in the IMS hierarchy are included in the relational table into which the segment in question is being converted. Then, all the local key fields of the segment being converted are included in the target relational table. Finally, all the local non-key fields of the segment to convert are added to the target relational table.

DEPR:
The first converter 235a also generates the index file 238b and the primary key file 238c, which are derived from the table file 238a. The first converter 235a creates one index for each parent of the converted segment by concatenating the keys for that parent. One index is also created for each local key field.

DEPR:
The first converter 235a also creates the schema header file 238d having information for each segment using the DBDxx 232a and corresponding DBDxxL 232b to provide schema information to application programs. Preferably, a segment header file includes two ANSI C data structures: a segment and a segment array. The segment structure includes the following information: a segment name, the names of the segment columns, the segment child index in the form of another header file, the length of each segment column, the expanded column length, the PIC mask for each segment column indicating column type and size, the column usage, a logical key and the corresponding local key index, the number of columns in the segment, the number of parent keys in the segment, and the number of local keys for this segment. The segment array structure includes the following information: a segment name, physical child names, the number of children, a logical flag, and a pointer to the corresponding segment data structure.

DEPR:
In addition to the first converter 235a, the second converter 235b is used to convert PSB definitions 232d into PSB header files 238e. As mentioned previously, a PSB defines the database which can be accessed, the segments within the database which are available, and the type of access (read, update, etc.) which can occur. The PSB header file 238e provides such database access information to application programs.
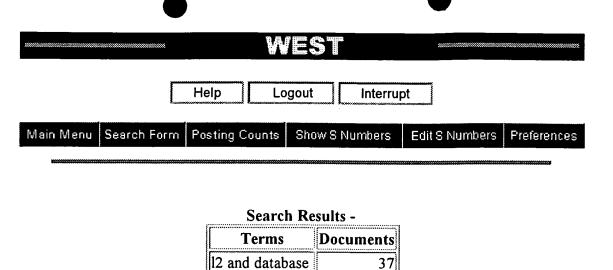
DEPR:

Once all conversion is complete and all output files are available, the order of creation for a given target database table is first to create the table using the table creation file 238a, next load the data from the target data 239, then create the primary key using the primary key creation file 238c, and finally to create the indices from the index creation file 238b. Once the target database structure is established and all database data is loaded, the ANSI C structures in the schema header file 238d and the PSB header file 238e are used at runtime by application programs to access the target database structures.

DEPR:
In addition, default constraints can be automatically associated to business objects based on the business object type. This can lead to automatic generation of maintenance screens for lookup business objects that can take a known range of values. The graphical business object editor can also be used to create templates that can be reused throughout an application. For instance, every screen may have a number of fixed function keys or buttons such as display, insert, delete, update, clear, refresh, backup, or quit, as well as a number of variable function keys whose semantics change from screen to screen. These function keys can be treated as a group and provided automatically as part of the template for every screen in an application.

DEPR:
FIG. 33 is a schematic block diagram of the facilitation tools 360 of FIG. 1. The facilitation tools 360 are graphic editing tools. The primary concept is to provide a structured, yet flexible, methodology for gathering user and application requirements while enabling the use of the resulting documentation to automatically generate a number of the architectural constructs that would otherwise have to be encoded manually. These facilitation tools 360 can include project tools 361, organizational tools 362, communication tools 363, office tools 364, groupware tools 365, and templates 366 for processing user inputs.

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Search Results -

Terms	Documents
l2 and database	37

Database:

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US Patents Full Text Database
US Pre-Grant Publication Full-Text Database
JPO Abstracts Database
EPO Abstracts Database
Derwent World Patents Index
IBM Technical Disclosure Bulletins
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Today's Date: 11/8/2001

DB Name	Query	Hit Count	Set Name
USPT,PGPB,JPAB,EPAB,DWPI,TDBD	l2 and database	37	L3
USPT,PGPB,JPAB,EPAB,DWPI,TDBD	(global or world with wide or universal) and stock near (symbol or identifier)	50	L2
USPT,PGPB,JPAB,EPAB,DWPI,TDBD	global or world with wide or universal and stock and symbol or identifier	120183	L1

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Search Results -

Terms	Documents
119 and securities with exchange	47

Database:

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US Pre-Grant Publication Full-Text Database
JPO Abstracts Database
EPO Abstracts Database
Derwent World Patents Index
IBM Technical Disclosure Bulletins
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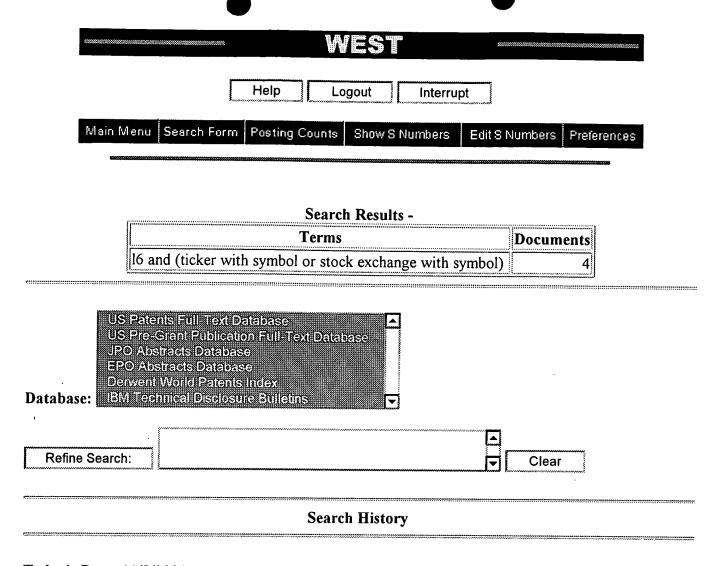| Refine Search: | | Clear |

Search History

Today's Date: 11/8/2001

DB Name	Query	Hit Count	Set Name
USPT,PGPB,JPAB,EPAB,DWPI,TDBD	l19 and securities with exchange	47	L20
USPT,PGPB,JPAB,EPAB,DWPI,TDBD	archiv$ and symbol$ and link$ and information	1180	L19
USPT,PGPB,JPAB,EPAB,DWPI,TDBD	l13 and "american standard code"	112	L18
USPT,PGPB,JPAB,EPAB,DWPI,TDBD	l13 and (ascII or "american standard code for information interchange")	1956	L17
USPT,PGPB,JPAB,EPAB,DWPI,TDBD	l13 and ascII or "american standard code for information interchange"	1958	L16
USPT,PGPB,JPAB,EPAB,DWPI,TDBD	l13 and "american standard code for information interchange"	0	L15
USPT,PGPB,JPAB,EPAB,DWPI,TDBD	l13 and document	63	L14
USPT,PGPB,JPAB,EPAB,DWPI,TDBD	l12 and segment	74	L13
USPT,PGPB,JPAB,EPAB,DWPI,TDBD	l11 and template	133	L12
USPT,PGPB,JPAB,EPAB,DWPI,TDBD	l10 and relational adj database	392	L11
USPT,PGPB,JPAB,EPAB,DWPI,TDBD	symbol and index or indices and securities with exchange	26061	L10
USPT,PGPB,JPAB,EPAB,DWPI,TDBD	l8 and relational near database	4	L9
USPT,PGPB,JPAB,EPAB,DWPI,TDBD	database and symbol and index and securities with exchange	53	L8
USPT,PGPB,JPAB,EPAB,DWPI,TDBD	l5 and template	29	L7
USPT,PGPB,JPAB,EPAB,DWPI,TDBD	l5 and symbol with template	0	L6
USPT,PGPB,JPAB,EPAB,DWPI,TDBD	l4 and document	91	L5
USPT,PGPB,JPAB,EPAB,DWPI,TDBD	stock with market and symbol and database	192	L4
USPT,PGPB,JPAB,EPAB,DWPI,TDBD	l2 and database	23	L3
USPT,PGPB,JPAB,EPAB,DWPI,TDBD	l1 and stock near exchange	34	L2
USPT,PGPB,JPAB,EPAB,DWPI,TDBD	ticker with symbol	71	L1

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| Help | Logout | Interrupt |

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Search Results -

Terms	Documents
l6 and (ticker with symbol or stock exchange with symbol)	4

Database:

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JPO Abstracts Database
EPO Abstracts Database
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IBM Technical Disclosure Bulletins

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Search History

Today's Date: 11/8/2001

DB Name	Query	Hit Count	Set Name
USPT,PGPB,JPAB,EPAB,DWPI,TDBD	l6 and (ticker with symbol or stock exchange with symbol)	4	L12
USPT,PGPB,JPAB,EPAB,DWPI,TDBD	l6 and ticker with symbol	1	L11
USPT,PGPB,JPAB,EPAB,DWPI,TDBD	l7 and (ticker with symbol or exchange with symbol)	2	L10
USPT,PGPB,JPAB,EPAB,DWPI,TDBD	l7 and ticker with symbol or exchange with symbol	566	L9
USPT,PGPB,JPAB,EPAB,DWPI,TDBD	l7 and ticker with symbol	0	L8
USPT,PGPB,JPAB,EPAB,DWPI,TDBD	l4 and symbol with library	171	L7
USPT,PGPB,JPAB,EPAB,DWPI,TDBD	l5 and symbol with segment	11	L6
USPT,PGPB,JPAB,EPAB,DWPI,TDBD	l4 and symbol with template	141	L5
USPT,PGPB,JPAB,EPAB,DWPI,TDBD	l3and document	219232	L4
USPT,PGPB,JPAB,EPAB,DWPI,TDBD	l2 and database	13257	L3
USPT,PGPB,JPAB,EPAB,DWPI,TDBD	l1 and link near6 parent or identifier	55373	L2
USPT,PGPB,JPAB,EPAB,DWPI,TDBD	symbols or identifiers near6 link$	205162	L1

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L6: Entry 2 of 11   File: USPT   Aug 14, 2001

US-PAT-NO: 6275611
DOCUMENT-IDENTIFIER: US 6275611 B1

TITLE: Handwriting recognition device, method and alphabet, with strokes grouped into stroke sub-structures

DATE-ISSUED: August 14, 2001

INVENTOR-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY
Parthasarathy; Kannan	Palo Alto	CA		

ASSIGNEE-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY	TYPE CODE
Motorola, Inc.	Schaumburg	IL			02

APPL-NO: 8/ 732957
DATE FILED: October 17, 1996

INT-CL: [7] G06K 9/00
US-CL-ISSUED: 382/187; 382/200, 382/202, 382/225
US-CL-CURRENT: 382/187; 382/200, 382/202, 382/225
FIELD-OF-SEARCH: 382/185, 382/186, 382/187, 382/188, 382/189, 382/190, 382/191, 382/197, 382/200, 382/202, 382/209, 382/213, 382/214, 382/215, 382/220, 382/225, 382/228, 382/229, 345/173, 345/175

PRIOR-ART-DISCLOSED:

U.S. PATENT DOCUMENTS

| Search Selected | | Search ALL |

	PAT-NO	ISSUE-DATE	PATENTEE-NAME	US-CL
☐	4561105	December 1985	Crane et al.	382/13
☐	4972496	November 1990	Sklarew	382/13
☐	5579408	November 1996	Sakaguchi et al.	382/187
☐	5615285	March 1997	Beernizk	382/189
☐	5644648	July 1997	Bose et al.	382/177
☐	5644652	July 1997	Bellegarda et al.	382/187
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☐	5740273	April 1998	Parthsarathm et al.	382/187
☐	5956433	September 1999	Sasaki	380/275
☐	5970170	October 1999	Kuclashevich et al.	382/187

FOREIGN PATENT DOCUMENTS

FOREIGN-PAT-NO	PUBN-DATE	COUNTRY	US-CL
0 538038	April 1993	EPX	
2227867A	August 1990	GBX	

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IEEE Proceedings of the Third International Conference on Document Analysis and Recognition, Aug. 14-16, 1995, Montreal, Canada. "On-line Recognition of Run-on Korean Characters", Pyeoung Kee Kim et al., pp. 54-57.

ART-UNIT: 261
PRIMARY-EXAMINER: Bella; Matthew C.
ATTY-AGENT-FIRM: Wood; Jay Ray Boxe; Romi N. Watanabe; Hisashi D.

ABSTRACT:

A method of representing handwriting which includes receiving a pen input, for example at a digitizer (10), segmenting the input into strokes (13), grouping the strokes into stroke sub-structures (14) and quantizing the stroke sub-structures according to a predefined set (the "alphabet") of stroke sub-structures. For handwriting recognition, distance measurements are computed between the input stroke sub-structures and members of a predefined set or "alphabet" (19) of stroke sub-structures.

18 Claims, 12 Drawing figures

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L10: Entry 2 of 2   File: USPT   Oct 17, 2000

US-PAT-NO: 6134338
DOCUMENT-IDENTIFIER: US 6134338 A

TITLE: Computer automated system and method for converting source documents
bearing symbols and alphanumeric text relating to three dimensional objects

DATE-ISSUED: October 17, 2000

INVENTOR-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY
Solberg; Stephen J.	La Crosse	WI		
Szymanski; Curt D.	Mukwonago	WI		

ASSIGNEE-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY	TYPE CODE
Solberg Creations, Inc.	La Crescent	MN			02

APPL-NO: 9/ 087706
DATE FILED: June 1, 1998

PARENT-CASE:
CROSS-REFERENCE TO RELATED APPLICATIONS This application is a continuation-in-part
of U.S. application Ser. No. 08/445,687 filed May 22, 1995, now U.S. Pat. No.
5.761,328.

INT-CL: [7] G06K 9/00
US-CL-ISSUED: 382/113; 707/502
US-CL-CURRENT: 382/113; 707/502
FIELD-OF-SEARCH: 382/100, 382/113, 382/197, 382/198, 382/200, 382/286, 382/154,
707/502, 345/419, 345/440, 345/442, 345/443

PRIOR-ART-DISCLOSED:

U.S. PATENT DOCUMENTS

| Search Selected | | Search ALL |

	PAT-NO	ISSUE-DATE	PATENTEE-NAME	US-CL
☐	4193087	March 1980	Altman	N/A
☐	4489389	December 1984	Beckwith et al.	N/A
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☐	4949388	August 1990	Bhaskaran	382/100
☐	4953106	August 1990	Ganser et al.	N/A
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☐	5204944	April 1993	Wolberg et al.	N/A
☐	5233357	August 1993	Ingensand et al.	N/A
☐	5258855	November 1993	Lech et al.	358/462
☐	5268998	December 1993	Simpson	N/A
☐	5276784	January 1994	Ohki	N/A
☐	5353393	October 1994	Bennett et al.	N/A
☐	5357602	October 1994	Ohta	N/A
☐	5369508	November 1994	Lech	N/A
☐	5386508	January 1995	Itonori et al.	N/A
☐	5517578	May 1996	Altman	N/A
☐	5568566	October 1996	Hori	N/A
☐	5761328	June 1998	Solberg et al.	N/A

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ABSTRACT:

The computer automated system and method of converting a digitized raster image of a scanned source document, bearing alphanumeric text relating to a plurality of physical dimensions and to a plurality of edges of a three dimensional object and of a moiety a symbol represents and of an insertion point of the moiety into the three dimensional object, at least one orthographic drawing view having a plurality of lines oriented in a direction to each other and corresponding to the

edges of the three dimensional object, and the symbol, into mathematically accurate three dimensional vectors corresponding to the physical dimensions and the edges of the object and moiety and into a mathematically accurate computer drawing file. The digitized raster image is organized into an orthographic viewpoint file corresponding to the view. The file is imported into a corresponding orthographic viewport in a CAD drawing file having three dimensional vector generating capability in an existing CAD system having a COGO subroutine and using an OCR and an OSR operating within the CAD system. The alphanumeric text relating to the symbol is recognized by the OCR and an attributed symbol vector file is created using CAD block attribution techniques. The alphanumeric text relating to the plurality of physical dimensions and to the plurality of edges of the three dimensional object and the insertion point is recognized by the OCR; the symbol is recognized by the OSR. The recognized alphanumeric text and recognized symbol and the attributed symbol vector file are converted by the COGO subroutine into mathematically accurate vectors which can be used for producing accurate drawings and for Computer Assisted Manufacturing. Mechanical, engineering and architectural drawing (plans) are converted by the present invention.

26 Claims, 19 Drawing figures

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L3: Entry 8 of 23   File: USPT   Sep 19, 2000

US-PAT-NO: 6122635
DOCUMENT-IDENTIFIER: US 6122635 A

TITLE: Mapping compliance information into useable format

DATE-ISSUED: September 19, 2000

INVENTOR-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY
Burakoff; Stephen V.	Chestnut Hill	MA		
Simmel; Sergiu S.	Brookline	MA		
Watkin; Heath L.	Watertown	MA		
Fein; Robert A.	Newton	MA		
Wiley; Garett S.	Wellesley	MA		
Amster; Richard B.	Brookline	MA		

ASSIGNEE-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY	TYPE CODE
NewRiver Investor Communications, Inc.	Andover	MA			02

APPL-NO: 9/ 023979
DATE FILED: February 13, 1998

INT-CL: [7] G06F 17/30
US-CL-ISSUED: 707/102; 707/104, 705/4
US-CL-CURRENT: 707/102; 705/4, 707/104.1
FIELD-OF-SEARCH: 705/36, 705/37, 705/4, 707/104, 707/9, 707/102

PRIOR-ART-DISCLOSED:

U.S. PATENT DOCUMENTS

Search Selected   Search ALL

	PAT-NO	ISSUE-DATE	PATENTEE-NAME	US-CL
□	5270922	December 1993	Higgins	364/408
□	5502637	March 1996	Beaulieu et al.	705/36
□	5590325	December 1996	Kolton et al.	707/104
□	5689650	November 1997	McClelland et al.	705/36
□	5819271	October 1998	Mahoney et al.	707/9
□	5864871	January 1999	Kitain et al.	707/104
□	5893079	April 1999	Cwenar	705/36
□	5918218	June 1999	Harris et al.	705/37
□	5926792	July 1999	Koppes et al.	705/4

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ART-UNIT: 271
PRIMARY-EXAMINER: Amsbury; Wayne
ATTY-AGENT-FIRM: Wolf, Greenfield & Sacks, P.C.

ABSTRACT:

A system for providing access to compliance information includes a subsystem for
acquiring securities information from one or more database sources. The system
extracts compliance information from the acquired securities information that is
related to a particular security. The system also includes a subsystem for
providing access to the computer-readable compliance information files over a
computer communications link.

30 Claims, 7 Drawing figures

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L3: Entry 7 of 23   File: USPT   Feb 6, 2001

US-PAT-NO: 6185567
DOCUMENT-IDENTIFIER: US 6185567 B1

TITLE: Authenticated access to internet based research and data services

DATE-ISSUED: February 6, 2001

INVENTOR-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY
Ratnaraj; Paul J.	Sicklerville	NJ		
McCartney; William Gerard	Philadelphia	PA		
To; Son	Philadelphia	PA		
Crispi; Steven J.	Philadelphia	PA		
Akhavein; Jalal D.	New York	NY		

ASSIGNEE-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY	TYPE CODE
The Trustees of the University of Pennsylvania	Philadelphia	PA			02

APPL-NO: 9/ 087184
DATE FILED: May 29, 1998

INT-CL: [7] G06F 17/30
US-CL-ISSUED: 707/10; 705/26, 707/5, 707/8, 707/100, 709/203
US-CL-CURRENT: 707/10; 705/26, 707/100, 707/5, 707/8, 709/203
FIELD-OF-SEARCH: 707/2-6, 707/10, 707/8, 707/100, 707/103, 707/202, 705/26, 705/27, 709/203

PRIOR-ART-DISCLOSED:

U.S. PATENT DOCUMENTS

| Search Selected | | Search ALL |

	PAT-NO	ISSUE-DATE	PATENTEE-NAME	US-CL
☐	5398336	March 1995	Tantry et al.	707/103
☐	5708780	January 1998	Levergood et al.	395/200.12
☐	5778367	July 1998	Wesinger, Jr. et al.	707/10
☐	5819255	October 1998	Celis et al.	707/2
☐	5826014	October 1998	Coley, et al.	395/187.01
☐	5826265	October 1998	Van Huben et al.	707/8
☐	5859972	January 1999	Subramaniam et al.	709/203
☐	5920873	July 1999	Van Huben et al.	707/202
☐	5937406	August 1999	Balabine et al.	707/100
☐	5963915	October 1999	Kirsch	705/26
☐	6094654	July 2000	Van Huben et al.	707/8

ART-UNIT: 271
PRIMARY-EXAMINER: Alam; Hosain T.
ASSISTANT-EXAMINER: Alam; Shahid
ATTY-AGENT-FIRM: Woodcock Washburn Kurtz Mackiewcz & Norris LLP

ABSTRACT:

Access to a database is provided via the Internet using a World Wide Web server
including a search engine, a CGI gateway and user selectable data queries for
extracting data, generating reports, and the like. Access by the user is
authenticated by querying the user's central machine for authentication. The
authentication process operates by sending a page request from the web browser
through three checkpoints before the requested page can be served to the web
browser. The first checkpoint determines if the requested page is protected. If
not, the requested page is served to the web browser. However, if the requested
page is protected, the authentication process on the web server checks the host
name of the system where the page request is coming from. If the domain of the
requesting host is the same domain specified in the web authentication
configuration, then the requested page is served to the web browser. However, if
the page request is determined to come from outside of the domain of the web
server, then the authentication process checks a "cookie" from the web browser to
determine if the requesting user has been authenticated as an authorized user
earlier in the same session. If the cookie has been "set" during the login
procedure, then the requested page is served to the web browser. Otherwise, the
user is prompted with a login page. After the user ends the web browser session,
the cookie is cleared. Data Query software at the web server permits queries
initiated via a web browser to be completed off-line and the results e-mailed to
the initiator of the request.

5 Claims, 4 Drawing figures

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L3: Entry 5 of 23   File: USPT   May 22, 2001

US-PAT-NO: 6236980
DOCUMENT-IDENTIFIER: US 6236980 B1

TITLE: Magazine, online, and broadcast summary recommendation reporting system to aid in decision making

DATE-ISSUED: May 22, 2001

INVENTOR-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY
Reese; John P	West Hartford	CT	06117	

APPL-NO: 9/ 057823
DATE FILED: April 9, 1998

INT-CL: [7] G06F 17/60
US-CL-ISSUED: 705/36; 705/26, 705/10
US-CL-CURRENT: 705/36; 705/10, 705/26
FIELD-OF-SEARCH: 705/36, 705/26, 705/27, 705/10

PRIOR-ART-DISCLOSED:

U.S. PATENT DOCUMENTS

| Search Selected | Search ALL |

	PAT-NO	ISSUE-DATE	PATENTEE-NAME	US-CL
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□	4989141	January 1991	Lyons et al.	364/408
□	4996642	February 1991	Hey	364/419
□	5006998	April 1991	Yasunobu et al.	364/513
□	5132899	July 1992	Fox	364/408
□	5262941	November 1993	Saladin et al.	364/408
□	5383111	January 1995	Homma et al.	364/401
□	5414838	May 1995	Kolton et al.	395/600
□	5502637	March 1996	Beaulieu et al.	364/408
□	5583763	December 1996	Atcheson et al.	364/55101
□	5812988	September 1998	Sandretto	705/36
□	5819271	October 1998	Mahoney et al.	707/9
□	5893079	April 1999	Cwenar	705/36
□	5897639	April 1999	Greef et al.	707/103

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ART-UNIT: 275
PRIMARY-EXAMINER: Stamber; Eric W.
ASSISTANT-EXAMINER: Meinecke-Diaz; Susanna
ABSTRACT:

The invention utilizes a computer apparatus to automatically generate displays or reports containing investment security or element recommendations (FIG. 4, box 133) along with an optional summarization of the reasons (FIG. 4, box 134) for the recommendation from magazines, online sources, and broadcast programs for one specific security or element (FIG. 4, box 132) at a time or one specific recommendation source (FIG. 7, box 184) at a time. The aforementioned reports could additionally include the performance of the recommendors (FIG. 5, box 156). A report could also be provided to show the performance statistics (FIG. 8b, box 196, box 204, box 206, box 208, box 210, box 212, box 214) of a recommendation source (FIG. 8b, box 194) for predetermined date ranges (FIG. 8b, box 216) either in an aggregated and averaged format (FIG. 8b) or for each recommendation (FIG. 8c) made by the recommendation source. Additionally, a report could be provided to show the performance of elements or securities that were mentioned (FIG. 51), not just recommended, in magazines, online sources, and broadcast programs.

26 Claims, 57 Drawing figures

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L3: Entry 19 of 23   File: USPT   Aug 16, 1994

US-PAT-NO: 5339392
DOCUMENT-IDENTIFIER: US 5339392 A

TITLE: Apparatus and method for creation of a user definable video displayed document showing changes in real time data

DATE-ISSUED: August 16, 1994

INVENTOR-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY
Risberg; Jeffrey S.	Palo Alto	CA	94303	
Skeen; Marion D.	Palo Alto	CA	94306	

APPL-NO: 7/ 636044
DATE FILED: December 28, 1990

PARENT-CASE:
This is a continuation-in-part application of a prior co-pending U.S. patent
application entitled "APPARATUS AND METHOD FOR PROVIDING DECOUPLING OF DATA
EXCHANGE DETAILS AND PROVIDING HIGH PERFORMANCE COMMUNICATION BETWEEN SOFTWARE
PROCESSES", Ser. No. 07/632,551, filed Dec. 21, 1990, which was a
continuation-in-part of a prior co-pending U.S. patent application entitled
"APPARATUS AND METHOD FOR PROVIDING DECOUPLING OF DATA EXCHANGE DETAILS AND
PROVIDING HIGH PERFORMANCE COMMUNICATION BETWEEN SOFTWARE PROCESSES", Ser. No.
07/601,117, filed Oct. 22, 1990, now U.S. Pat. No. 5,257,369, which was a
continuation-in-part of a prior co-pending U.S. patent application entitled
"APPARATUS AND METHOD FOR PROVIDING DECOUPLING OF DATA EXCHANGE DETAILS AND
PROVIDING HIGH PERFORMANCE COMMUNICATION BETWEEN SOFTWARE PROCESSES", Ser. No.
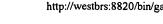07/386,584, filed Jul. 27, 1989, now U.S. Pat. No. 5,187,787.

INT-CL: [5] G06F 15/62, G06F 15/16
US-CL-ISSUED: 395/161; 395/155, 364/408
US-CL-CURRENT: 345/762; 345/765, 345/774, 707/501.1
FIELD-OF-SEARCH: 364/144-149, 364/155, 364/161, 364/408, 364/411, 364/412,
364/419, 358/84

PRIOR-ART-DISCLOSED:

U.S. PATENT DOCUMENTS

| Search Selected | | Search ALL |

	PAT-NO	ISSUE-DATE	PATENTEE-NAME	US-CL
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	4642790	February 1987	Minshull et al.	364/900
	4750135	June 1988	Boilen	364/514
	4845645	July 1989	Matin et al.	364/521
	4868866	September 1989	Williams, Jr.	364/408 X
	4901221	February 1990	Kodosky et al.	364/200
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	4914587	April 1990	Clouse	364/408
	4943866	July 1990	Barker et al.	358/335
	5058185	October 1991	Morris et al.	382/41
	5126936	June 1992	Champion et al.	364/408

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FOREIGN-PAT-NO	PUBN-DATE	COUNTRY	US-CL
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ART-UNIT: 231
PRIMARY-EXAMINER: Herndon; Heather R.
ATTY-AGENT-FIRM: Fish; Ron

ABSTRACT:

A software program providing a facility for a user to compose a custom active document using tools provided by the program. The active document can be comprised of one or more sheets each of which is composed in a custom manner by the user and each of which can show real time data and the changes therein generated by any complex system. The user can select which real time data is to be displayed, where it is to be displayed and in what format and style it is to be displayed. The user can control the "look" of the active document through full control of the fonts, colors, pen etc. The user may also define alarm limits against which real time

data updates are compared as well as scripts of commands to be performed in case an alarm limit is exceeded. Scripts of commands to be performed written by the user may also be invoked from a menu option. The tools provided for a financial analysis embodiment of the invention allow the user to layout each sheet of the active document with: quotes of prices, volume etc. on various financial instruments such as stocks, bonds, etc., tickers showing trade data, graphs over time of various values or superimposed graphs of changes over time of several real time data values, bar graphs of some aspect of a set of financial instruments, segments defined by the user of pages selected by the user of page-based financial services like telerate, and groups of real time data. "Buttons" can be programmed to perform any user defined script of actions. Metadata and style maps are used to offload some of the work of specifying the format of the displayed objects from the user to the machine itself.

46 Claims, 53 Drawing figures

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L3: Entry 19 of 23   File: USPT   Aug 16, 1994

DOCUMENT-IDENTIFIER: US 5339392 A
TITLE: Apparatus and method for creation of a user definable video displayed
document showing changes in real time data

BSPR:
The tools provide access to information from any source including other programs
running on the same host 0 or somewhere else on the network, ticker plants,
information services or databases. In the preferred embodiment, the program can
support data feeds from Reuters Market Feed 2000/IDN, Telekurs Ticker, CMQ
Telerate MarketFeed, Canquote, and Quotron. In addition, the program (known
commercially as the MarketSheet.TM. facility or program) can accept prices
extracted from paged market data feeds such as Telerate TDPF, Reuters RDCDF, FBI
and RMJ. These types of data are first extracted by Page Shredder.TM., another
program available from the assignee of the present invention, but the particular
manner in which the prices are extracted from page feeds is not critical nor is
it part of the invention and the invention may be practiced without this facility
or with any prior art method of extracting prices.

DEPR:
Composite or "wild card" tickers can be created simply by entering for the symbol
a period followed by the name of the exchange code. The ticker object will then
show every update reported by the feed on that exchange.

DEPR:
Referring to FIG. 7, there is shown a diagram of the parts of an Active Object.
An instance of an Active Object 100 contains a data object 102, a Style Map 104,
a Display Object 106, one or more Event Triggers shown generally at 108 and one
or more Event Scripts of commands to be performed sequentially if an Event
Trigger condition occurs. These Event Scripts are shown generally at 110. The
Active Object 100 includes a local event dispatcher which dispatches events,
e.g., user commands, to the various Active Object components for processing. For
example, data updates from a network or database are dispatched to the Data
Object 102, and "display frame" or display related events are dispatched to the
Display Object 106. Events handled by the local dispatcher can be internally
generated, such as a "change notification" event from the Data Object, which is
dispatched to the Display Object so that the displayed representation can be
updated.

DEPR:
The Active Object 100 also has associated operations such as "move yourself",
"change the data using the real time network data update or a database update";
etc. Most operations are done by the local dispatcher. For example, data update
events cause the local dispatcher to send the data to the Data Object 102.
Programs according to the teachings of the invention are written for "event
driven" processing style. An "event" as that term is used here can mean a user
caused event such as an input from the keyboard, pointing device or other input
device or it could be generated by the program itself, the network interface, or
any other process in the environment or elsewhere on the network. The event
dispatchers in the system match each event with some operation to call. The
Active Objects have their own event dispatchers and there is a global event
dispatcher which deals with input events from the network, the input devices, the
operating system or a database which is used to store pricing information so that
when a subscription is entered, the user may get the most recent data immediately
and does not have to wait for the next update.

DEPR:

Referring to FIG. 9, there is shown a diagram of the event architecture of a
program according to the teachings of the invention. At the left are shown
symbols for some of the input event generators. User events can be generated
using a voice processor 124, a keyboard 126, a mouse 128, or a touchscreen 130 or
any other user manipulated device. Other input events can originate from the
network 32, a file/database 132 or from the operating system 134. The
file/database stores real time data as it comes in from the network so that users
requesting a price etc. can immediately have access to the latest information and
need not wait for the next update of the requested information. An event
originating from the network or the database is usually the data returned after a
request generated by the creation of an Active Object such as a quote, ticker,
graph etc.

DEPR:
Some events can originate within and are locally dispatched from the Active
Objects themselves or from the menu objects. For example, the user may click on a
font change option from one of the menu objects 56, and this event will be
dispatched as an update to the style map of the currently selected Active Object.
Likewise, a data update to an Active Object may cause the value of some variable
to exceed the alarm limits for that variable set by the user. In such a case, the
local dispatcher of the Active Object making the transition into the alert state
will invoke a script processor 154 and send the user specified script for the
appropriate alarm event to the script processor. The script processor then
processes the script to carry out the commands specified in the script in the
order specified in the script. If one of the commands in the script is to change
a color or a font, the script processor will call the style map of the Active
Object specified in the script (it may be different than the Active Object which
triggered the script processing) and update the style map of that Active Object.
If the script calls for publishing some data, the style processor calls the high
level network interface 90, invokes a publish function and sends the appropriate
data to be published on the network. Likewise, if the script calls for sending
data to a database 156, this also can be done. The script may also call for
invoking some function of the operating system through an operating system call
158, and can invoke other applications 160 running in the same environment.
Further, the script processor may also cause; the other application to perform
some function and may even cause the other application to access the network
through the network interface 162 of the other application to either send or
receive some data specified by the script.

DEPR:
Subject-based addressing is implemented by the communication component of the
communication interface of the TIB.RTM. software by subject mapping. The
communication component receives "subscribe" requests from an application which
specifies the subject upon which data is requested. A subject-mapper module in
the information layer receives the request from the application and then looks up
the subject in a database, table or the like. The database stores "service
records" which indicate the various server processes that supply data on various
subjects. The appropriate service record identifying the particular server
process that can supply data of the requested type and the communication protocol
(hereafter sometimes called the service discipline) to use in communicating with
the identified server process is returned to the subject-mapper module.

DEPR:
Alternatively, the table of FIG. 29 may be a database or other file stored
somewhere in the network file system 224 in FIG. 21. In such a case, the routine
performing the step 302 in FIG. 28 would know the network address and file name
for the file to access for access to the table of FIG. 29.

DEPR:
A Get.sub.-- Field call delivers to the forms-class manager the address of the
form involved and the name of the field in the form of interest. The process of
receiving such a request is symbolized by block 320 in FIG. 32. Block 320 also
symbolizes the process by which the class manager is given the class definition
either programmatically, i.e., by the requesting application, or is told the
location of a data base where the class definitions including the class
definition for the form of interest may be found. There may be several databases
or files in the network file system 224 of FIG. 21 wherein class definitions are
stored. It is only necessary to give the forms-class manager the location of the
particular file in which the class definition for the form of interest is stored.

DEPR:
It is also possible for a service discipline to stand alone and not be coupled to a subject mapper. In this case the service discipline or service disciplines are linked directly to the application, and subscribe calls are made directly to the service discipline. The difference is that the application must know the name of the service supplying the desired data and the service discipline used to access the service. A database or directory-services table is then accessed to find the network address of the identified service, and communications are established as defined above. Although this software architecture does not provide data distribution decoupling, it does provide service protocol decoupling, thereby freeing the application from the necessity to know the details of the communications interface with the service with which data is to be exchanged.

DEPR:
The TIB.RTM. interface for each service decouples the service from any requirement to have functionality capable of supporting filtering or subject based addressing. Thus, if a service is designed to broadcast all equity prices on the American Stock Exchange and Over-the-Counter market, but the subscription is simply for IBM equity prices, the service responds as it always has and need not have a function to filter out only IBM equity prices. The service discipline for this type service will be adapted to filter out all messages except IBM equity prices in response to such a subscription request.

DEPR:
Note that our use of the term "form" differs from the standard use of the term in database systems and so-called "forms management systems." In those systems, a "form is a format for displaying a database or file record. (Typically, in such system, a user brings up a form and paints a database record into the form.)

DEPR:
Our notion of a form is more fundamental, akin to such basic notions as record or array. Our notion takes its meaning from the original meaning of the Latin root word forma. Borrowing from Webster: "The shape and structure of something as distinguished from its material". Forms can be instantiated, operated on, passed as arguments, sent on a network, stored in files and databases. Their contents can also be displayed in many different formats. "templates" can be used to specify how a form is to be displayed. A single form (more precisely, a form class) can have many "templates" since it may need to be displayed in many different ways. Different kinds of users may, for example, desire different formats for displaying a form.

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L7: Entry 6 of 29   File: USPT   Jun 20, 2000

US-PAT-NO: 6078924
DOCUMENT-IDENTIFIER: US 6078924 A

TITLE: Method and apparatus for performing data collection, interpretation and analysis, in an information platform

DATE-ISSUED: June 20, 2000

INVENTOR-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY
Ainsbury; Robert D.	San Francisco	CA		
Al Hussein; Hussein K.	Santa Clara	CA		
Hinnant; Michael C.	Foster City	CA		
Lahham; Muwaffaq M.	San Francisco	CA		
Ludin; Stephen L.	San Rafael	CA		
Putterman; Daniel S.	San Francisco	CA		
Shotton; Frederick R.	Hercules	CA		
Tejada; Wilfredo M.	Portola Valley	CA		

ASSIGNEE-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY	TYPE CODE
Aeneid Corporation	San Francisco	CA			02

APPL-NO: 9/ 016758
DATE FILED: January 30, 1998

INT-CL: [7] G06F 17/00
US-CL-ISSUED: 707/101; 707/102
US-CL-CURRENT: 707/101; 707/102
FIELD-OF-SEARCH: 709/300, 382/103, 382/173, 707/1, 707/2, 707/3, 707/5, 707/103, 707/104, 707/200, 707/500, 707/101, 707/102

PRIOR-ART-DISCLOSED:

U.S. PATENT DOCUMENTS

Search Selected   Search ALL

	PAT-NO	ISSUE-DATE	PATENTEE-NAME	US-CL
	5361353	November 1994	Carr et al.	709/300
	5608907	March 1997	Fehskens et al.	707/1
	5633946	May 1997	Lachinski et al.	382/103
	5732264	March 1998	Tanaka	707/104
	5787437	July 1998	Potterveld et al.	707/103
	5832496	November 1998	Anand et al.	707/102
	5832497	November 1998	Taylor	707/104
	5848184	December 1998	Taylor et al.	382/173
	5870741	February 1999	Kawabe et al.	707/5
	5870746	February 1999	Knutson et al.	707/101
	5907837	May 1999	Ferrel et al.	707/3
	5909688	June 1999	Yoshioka et al.	707/200
	5913205	June 1999	Jain et al.	707/2
	5918236	June 1999	Wical	707/500

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FOREIGN-PAT-NO	PUBN-DATE	COUNTRY	US-CL
WO96/23265	August 1996	WOX	
WO97/15018	April 1997	WOX	

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Ashish et al., Semi-Automatic Wrapper Generation for Internet Information Sources, 1997, Information Sciences Institute and Department of Computer Science.

ART-UNIT: 271
PRIMARY-EXAMINER: Amsbury; Wayne
ASSISTANT-EXAMINER: Pardo; Thuy
ATTY-AGENT-FIRM: Glenn; Michael A. Peil; Christopher

ABSTRACT:

An information platform automates the collection of data, provides a method for organizing the library of information and provides analysis using multiple content-types, thereby providing a user with a market understanding necessary to execute rapid and knowledgeable decision making. The information platform collects and integrates data, observations and intelligence; provides controls for multiple methods of information navigation and analysis; and allows details to be digested in the context of other data, regardless of its type. The information platform is a client/server implementation that is subdivided into four major sections, including: (1) Data Retrieval, which provides a sophisticated catalog for finding internal and external information and collection agents which retrieve specific information without user intervention; (2) Data Classification and Storage which handles the storage of the information once it has been gathered from a source; (3) Information Browsing, Query, Analysis, and Report Creation which provides information browsing, reporting, and analysis tools; and (4) Desktop Integration where the information platform takes information from a wide variety of formats (HTML, text, spreadsheet) and combines them all into a single format (HTML, text, spreadsheet).

11 Claims, 11 Drawing figures

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L7: Entry 18 of 29   File: USPT   Jan 26, 1999

US-PAT-NO: 5864871
DOCUMENT-IDENTIFIER: US 5864871 A

TITLE: Information delivery system and method including on-line entitlements

DATE-ISSUED: January 26, 1999

INVENTOR-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY
Kitain; Eduard	Brooklyn	NY		
Karaev; Isaak	Brooklyn	NY		
Mahoney; John J.	Princeton Junction	NJ		
McCarthy; Mary Ellen	Atlantic Highlands	NJ		
Tousignant; James M.	Hartsdale	NY		
Baird; George	New York	NY		
Blazek; Paul	Forest Hills	NY		

ASSIGNEE-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY	TYPE CODE
Multex Systems	New York	NY			02

APPL-NO: 8/ 789768
DATE FILED: January 28, 1997

PARENT-CASE:
RELATED APPLICATIONS This application is a continuation-in-part of U.S. patent
application, Ser. No. 08/658,966, filed Jun. 4, 1996 now pending, and a
continuation-in-part of U.S., patent application, Ser. No. 08/739,377, filed Oct.
29, 1996 now pending.

INT-CL: [6] G06F 17/30
US-CL-ISSUED: 707/104; 707/10, 707/9
US-CL-CURRENT: 707/104.1; 707/10, 707/9
FIELD-OF-SEARCH: 707/104, 707/10, 707/9

PRIOR-ART-DISCLOSED:

U.S. PATENT DOCUMENTS

| Search Selected | | Search ALL |

	PAT-NO	ISSUE-DATE	PATENTEE-NAME	US-CL
☐	5089956	February 1992	MacPhail	N/A
☐	5247661	September 1993	Hager et al.	N/A
☐	5262942	November 1993	Earle	N/A
☐	5265242	November 1993	Fujisawa et al.	N/A
☐	5297032	March 1994	Trojan et al.	N/A
☐	5301350	April 1994	Rogan et al.	N/A
☐	5321750	June 1994	Nadan	N/A
☐	5333246	July 1994	Nagasaka	N/A
☐	5410693	April 1995	Yu et al.	N/A
☐	5502637	March 1996	Beaulieu et al.	N/A
☐	5511156	April 1996	Nagasaka	N/A
☐	5513126	April 1996	Harkins et al.	N/A
☐	5537586	July 1996	Amram et al.	N/A
☐	5539865	July 1996	Gentile	N/A

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FOREIGN-PAT-NO	PUBN-DATE	COUNTRY	US-CL
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WO 93/15466	August 1993	WOX	
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Jun. 17, 1996, Waters Information Services, Inc.
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Providers, 2 pgs., Jun. 5, 1996.
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GFI, Wall Street & Technology, 1 pg., Aug. 1996.
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"Multex Publisher.TM.", Multex Systems, Inc., copyright 1994, 6 pages.
"Multex Contributor User Guide", Multex Systems, Inc., 36 pages.
Gupta, Udayan, "From The Inside Out," Information Week, May 22, 1995 3 pages.

ART-UNIT: 271
PRIMARY-EXAMINER: Amsbury; Wayne
ATTY-AGENT-FIRM: Kenyon & Kenyon

ABSTRACT:

An integrated computer-implemented corporate information delivery system. A
database stores research reports produced by and received electronically from
brokerage firms. The database also stores corporate information about a number of
corporations. Each item of corporate information is produced by and received
electronically from one of the corporations about that corporation. Authorization
information ("entitlements") specifies who is authorized to access each research
report or item of corporate information. An entitlement subsystem allows the
contributor of the research report or item of corporate information to dynamically

change, on-line, the entitlement status of any or all users/subscribers. A research delivery module allows a user to submit a query and receive query results listing research reports and corporate information satisfying the query and that the user is authorized to access. A corporate register module outputs corporate information, the corporate information output according to a common format. The corporate information may be distributed via the Internet.

23 Claims, 14 Drawing figures

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L14: Entry 38 of 63   File: USPT   Sep 28, 1999

US-PAT-NO: 5960200
DOCUMENT-IDENTIFIER: US 5960200 A

TITLE: System to transition an enterprise to a distributed infrastructure

DATE-ISSUED: September 28, 1999

INVENTOR-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY
Eager; Timothy	Fullerton	CA		
Anand; Madhav	Cambridge	MA		
Aslanian; Edouard	Hermosa Beach	CA		

ASSIGNEE-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY	TYPE CODE
i-CUBE	Cambridge	MA			02

APPL-NO: 8/ 714205
DATE FILED: September 16, 1996

PARENT-CASE:
RELATED APPLICATIONS This application claims priority to U.S. Provisional
Application No. 60/016,330 filed on May 3, 1996, the teachings of which are
incorporated herein by reference in their entirety.

INT-CL: [6] G06F 9/45
US-CL-ISSUED: 395/705; 395/701, 395/707, 395/500, 395/200.31, 705/7
US-CL-CURRENT: 717/5; 703/13, 703/20, 705/7, 709/201, 717/1, 717/7
FIELD-OF-SEARCH: 395/705, 395/701, 395/702, 395/707, 395/708, 395/500, 395/200.31,
395/200.33, 395/682, 395/683, 705/7-11, 707/10, 707/100, 707/102-104, 364/578,
364/468.02, 364/468.03, 364/468.05, 364/468.09

PRIOR-ART-DISCLOSED:

U.S. PATENT DOCUMENTS

	Search Selected		Search ALL	
	PAT-NO	ISSUE-DATE	PATENTEE-NAME	US-CL
☐	5119465	June 1992	Jack et al.	395/500
☐	5228137	July 1993	Kleinerman et al.	395/500
☐	5455948	October 1995	Poole et al.	707/102
☐	5457797	October 1995	Butterworth et al.	395/682
☐	5524253	June 1996	Pham et al.	395/200.32
☐	5606697	February 1997	Ono	395/707

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Moore, M., et al., "Knowledge-based User Interface Migration," IEEE, pp. 72-79, (1994).

Geschickter, C., "A Commonsense Plan for Client-Server Migration," Data Communications, pp. 73-76 and 78, (May 1994).

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Mittra, S.S., "A Road Map for Migrating Legacy Systems to Client/Server," Software Maintenance: Research and Practice, vol. 7, pp. 117-130, (1995).

"DASE--Base Technology for Data and Applications Software Evolution and HIREL HIerarchical to RELational for an automated Migration to an open, relational and Client/Server positioned Environement," SWS Software Services, pp. 1-4, (1994).

"DASE Base Technology for Data and Acquisitions Software Evolution and HIREL/AProp IMS/DB-DB2 dual way Access Propagation for an automated Migration to an open, relational and Client/Server positioned Environment," SWS Software Services, pp. 1-4, (1994).

"DASE Base Technology for Data and Applications Software Evolution and IXREL IBM hIerarchisch to uniX RELational for an automated Migration to an open, relational and Client/Server positioned Environment," SWS Software Services, pp. 1-4, (1994).

"DASE Base Technology for Data and Applications Software Evolution and CMP COBOL Migration Products for an automated Migration from COBOL ANS'68/74 to COBOL ANS'85 and REPORT WRITER to Native COBOL," SWS Software Services, pp. 1-4, (1994).

"DASE Base Technology for Data and Acquisitions Software Evolution and VREL Vsam to RELational for an automated Migration to an open, relational and Client/Server positioned Environment," SWS Software Services, pp. 1-4, (1994).

ART-UNIT: 272
PRIMARY-EXAMINER: Hafiz; Tariq R.
ASSISTANT-EXAMINER: Dam; Tuan Q.
ATTY-AGENT-FIRM: Hamilton, Brook, Smith & Reynolds, P.C.

ABSTRACT:

An automated system transitions an entire enterprise to a distributed infrastructure. The system includes a process for organizing and managing the transition, a multi-tiered client/server architecture that adheres to open systems standards, a system to automate the transition of existing applications to this architecture, and a system to enable the creation or modification of applications based on this architecture.

54 Claims, 36 Drawing figures

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L20: Entry 19 of 47   File: USPT   Nov 2, 1999

US-PAT-NO: 5978779
DOCUMENT-IDENTIFIER: US 5978779 A

TITLE: Distributed architecture utility

DATE-ISSUED: November 2, 1999

INVENTOR-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY
Stein; Derek N.	Larchmont	NY		
Thomas; Arthur L.	Saddle River	NJ		
Alexander; Mark	Montvale	NJ		

ASSIGNEE-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY	TYPE CODE
Merrill Lynch, Pierce, Fenner & Smith	New York	NY			02

APPL-NO: 8/ 970483
DATE FILED: November 14, 1997

INT-CL: [6] G06F 17/60
US-CL-ISSUED: 705/37; 707/10
US-CL-CURRENT: 705/37; 707/10
FIELD-OF-SEARCH: 705/1, 705/35, 705/36, 705/37, 707/1, 707/10, 707/104, 707/500, 707/523, 707/530

PRIOR-ART-DISCLOSED:

U.S. PATENT DOCUMENTS

| Search Selected | | Search ALL |

	PAT-NO	ISSUE-DATE	PATENTEE-NAME	US-CL
☐	4346442	August 1982	Musmanno	705/36
☐	4376978	March 1983	Musmanno	705/36
☐	4597046	June 1986	Musmanno et al.	705/36
☐	4674044	June 1987	Kalmus et al.	705/37
☐	4774663	September 1988	Musmanno et al.	705/37
☐	5270922	December 1993	Higgins	705/37
☐	5297032	March 1994	Trojan et al.	705/37
☐	5502637	March 1996	Beailieu et al.	705/36
☐	5596748	January 1997	Kleewein et al.	707/10
☐	5655152	August 1997	Ohnishi et al.	395/856
☐	5671363	September 1997	Cristofich et al.	705/37
☐	5706499	January 1998	Kleewein et al.	707/10
☐	5847708	December 1998	Wolff	345/349

ART-UNIT: 271
PRIMARY-EXAMINER: Cosimano; Edward R.
ATTY-AGENT-FIRM: Hopgood, Calimafde, Kalil & Judlowe, LLP

ABSTRACT:

The invention provides a system and device for integrating and structuring the relationships of a financial services provider (FSP) with its clients and with third parties (counterparties) with which the FSP transacts business. Preferably, each entity with which the FSP transacts business, preferably also including entities internal to the FSP, is assigned a unique, non-intelligent identifier (CCID), and a relationship is established between each identifier and at least on other entity likewise identified. The system allows the FSP's users to seamlessly access information and transact business with all entities regardless of whether such entities are clients or third party providers (such as money managers). The system can be implemented on a network system. The system preferably also includes a library by which documents required for a particular transaction or account are associated with the entity(ies) engaging in such transaction or for which the account is generated, and also preferably a tracking system for assuring that required documents are forwarded when necessary and executed and returned as required.

11 Claims, 7 Drawing figures

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L3: Entry 14 of 37   File: USPT   Sep 19, 2000

US-PAT-NO: 6122635
DOCUMENT-IDENTIFIER: US 6122635 A

TITLE: Mapping compliance information into useable format

DATE-ISSUED: September 19, 2000

INVENTOR-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY
Burakoff; Stephen V.	Chestnut Hill	MA		
Simmel; Sergiu S.	Brookline	MA		
Watkin; Heath L.	Watertown	MA		
Fein; Robert A.	Newton	MA		
Wiley; Garett S.	Wellesley	MA		
Amster; Richard B.	Brookline	MA		

ASSIGNEE-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY	TYPE CODE
NewRiver Investor Communications, Inc.	Andover	MA			02

APPL-NO: 9/ 023979
DATE FILED: February 13, 1998

INT-CL: [7] G06F 17/30
US-CL-ISSUED: 707/102; 707/104, 705/4
US-CL-CURRENT: 707/102; 705/4, 707/104.1
FIELD-OF-SEARCH: 705/36, 705/37, 705/4, 707/104, 707/9, 707/102

PRIOR-ART-DISCLOSED:

U.S. PATENT DOCUMENTS

[Search Selected] [Search ALL]

	PAT-NO	ISSUE-DATE	PATENTEE-NAME	US-CL
☐	5270922	December 1993	Higgins	364/408
☐	5502637	March 1996	Beaulieu et al.	705/36
☐	5590325	December 1996	Kolton et al.	707/104
☐	5689650	November 1997	McClelland et al.	705/36
☐	5819271	October 1998	Mahoney et al.	707/9
☐	5864871	January 1999	Kitain et al.	707/104
☐	5893079	April 1999	Cwenar	705/36
☐	5918218	June 1999	Harris et al.	705/37
☐	5926792	July 1999	Koppes et al.	705/4

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FOREIGN-PAT-NO	PUBN-DATE	COUNTRY	US-CL
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InUnity Corporation's Products and Services, 11 pages, Sep. 1997.
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Ferguson D. "Parsing Financial Statements Efficiently and Accurately Using C and Prolog," Proceedings of the Fifth International Conference on the Practical Application of Prolog, Proceedings FO PAP97.Practical Application of Prolog. Fifth International Conference, London, UK, Apr. 22-24, 1997, pp. 157-167.

ART-UNIT: 271
PRIMARY-EXAMINER: Amsbury; Wayne
ATTY-AGENT-FIRM: Wolf, Greenfield & Sacks, P.C.

ABSTRACT:

A system for providing access to compliance information includes a subsystem for acquiring securities information from one or more database sources. The system extracts compliance information from the acquired securities information that is related to a particular security. The system also includes a subsystem for providing access to the computer-readable compliance information files over a computer communications link.

30 Claims, 7 Drawing figures